

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT APPLICATION TRANSMITTAL FORM
(*only for new nonprovisional applications under 37 CFR 1.53(b)*)

ASSISTANT COMMISSIONER FOR PATENTS

Washington, D.C. 20231

BOX: PATENT APPLICATION

SIR:

Transmitted herewith for filing is the patent application (including Specification, Claims, Sequence Listing (if applicable) and Abstract, 172 pages) of:

Inventors : **Paras N. Prasad, Jayant D. Bhawalkar, Guang S. He, Chan F. Zhao, Raz Gvishi, Gary E. Ruland, Jaroslaw Zieba, Ping Chin Cheng, and Shan Jen Pan**

For : **TWO-PHOTON UPCONVERTING DYES AND APPLICATIONS**

***If a CONTINUING APPLICATION, please mark where appropriate and supply the requisite information below and in a preliminary amendment:*

☐ continuation ☒ divisional ☐ Continuation-In-Part (CIP)
of prior application Serial No. 08/712,143

Prior application information: Examiner : **Z. Davis**
Art Unit : **1612**

Enclosed are:

- ☒ Submission of Formal Drawings with 34 sheets of Formal drawings attached.
- ☐ **Signed** Combined Declaration and Power of Attorney (____ pages).
- ☒ **Copy of signed** Combined Declaration and Power of Attorney (5 pages) from a prior application (1.63(d) (for continuation/divisional).
- ☐ **Signed** statement deleting inventor(s) named in prior application (____ pages) (1.63(d)(2) and 1.33(b)).
- ☒ **Incorporation By Reference:** The entire disclosure of the prior application, from which a **copy** of the oath or declaration is supplied herewith, is considered as being part of the disclosure of the enclosed application and is hereby incorporated by reference therein.
- ☐ Assignment (____ pages) of the invention to _____.
- ☐ Assignment Transmittal Letter.
- ☐ Certified copy of a foreign priority document.
- ☐ Associate power of attorney.
- ☒ Verified statement to establish small entity status (2 pages) (copy filed in prior application).

- ☒ Preliminary Amendment (2 pages).
- ☒ Information Disclosure Statement, form PTO-1449 (4 pages) and 51 references (2 references enclosed).
- ☐ **UNSIGNED** Combined Declaration and Power of Attorney (_____ pages).
- ☐ Statement in Accordance with 37 CFR § 1.821(f) and computer readable 3.5" Diskette.
- ☒ A self-addressed, prepaid postcard acknowledging receipt.
- ☐ Other:

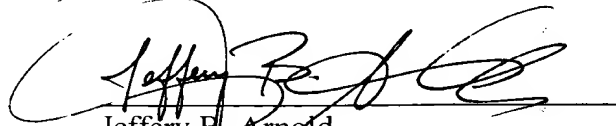
The Filing fee has been calculated as shown below:

(Col. 1)		(Col. 2)	SMALL ENTITY		OR	LARGE ENTITY	
FOR:	NO. FILED	NO. EXTRA	RATE	FEE		RATE	FEE
BASIC FEE	XXXXXXXX	XXXXXXXX	XXXX	\$ 380	OR	XXXX	\$760
TOTAL CLAIMS	201 - 20 =	181	x 9 =	\$1,629	OR	x 18 =	\$
INDEP CLAIMS	9 - 3 =	6	x 39 =	\$ 234	OR	X78 =	\$
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED			x130 =	\$	OR	x260 =	\$
*If the Total Claims are less than 20 and Indep. Claims are less than 3, enter "0" in Col. 2			TOTAL	\$2,243	OR	TOTAL	\$

- ☒ A check in the amount of **\$2,243.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1138. **A duplicate copy of this sheet is enclosed.**
- ☒ Address all future communications to:

Michael L. Goldman, Esq.
Nixon, Hargrave, Devans & Doyle LLP
Clinton Square, P.O. Box 1051
Rochester, New York 14603

Date: MARCH 10, 1997


Jeffery B. Arnold
Registration No. 39,540

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PATENT
Docket No.: 19226/835 (R-5285, R-5321, R-5323, and R-5356)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants	:	Prasad et al.)	Examiner:
Serial No.	:	To Be Assigned (Division of Serial No. 08/712,143))	To Be Assigned
Filed	:	Herewith)	Art Unit:
For	:	TWO-PHOTON UPCONVERTING DYES AND APPLICATIONS)	To Be Assigned
)	Batch No:
)	To Be Assigned

SUBMISSION OF FORMAL DRAWINGS

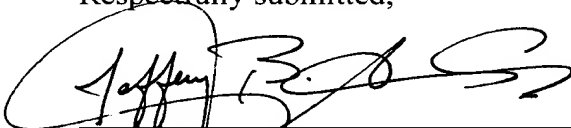
Assistant Commissioner for Patents
Washington, D.C. 20231
Box: PATENT APPLICATION

Dear Sir:

Enclosed for filing in the subject application are 34 sheets of formal drawings.

Respectfully submitted,

Date: MARCH 10, 1999


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Registration No. 39,540

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EXPRESS MAIL CERTIFICATE

DOCKET NO.: 19226/835 (R-5285, R-5321, R-5323, and R-5356)

APPLICANTS: Paras N. Prasad, Jayant D. Bhawalkar, Guang S. He, Chan F. Zhao,
Raz Gvishi, Gary E. Ruland, Jaroslaw Zieba, Ping Chin Cheng,
and Shan Jen Pan

TITLE: TWO-PHOTON UPCONVERTING DYES AND
APPLICATIONS

Certificate is attached to a **copy of the Small Entity Statement (2 pages)** as filed in the prior application of the above-named application.

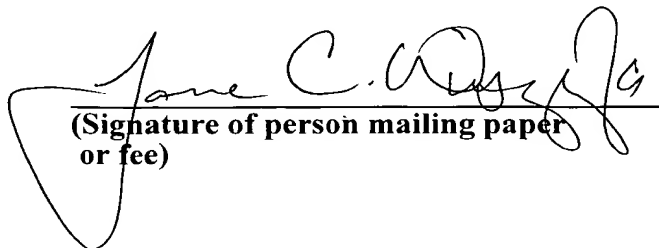
EXPRESS MAIL NUMBER: EL158794134US

DATE OF DEPOSIT: March 10, 1999

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, Box: Patent Application.

Jane C. Wirszyla

(Typed or printed name of person
mailing paper or fee)


(Signature of person mailing paper
or fee)